Appendix A

REE Position Management and Workforce/Succession Planning Checklist

Agency:		Date:
Division /Office:		Supervisor:
Position Number:	Vacancy Announcement # (if Recruit):	
Position Title/Series/Grade:		

Workforce and succession planning provides the means for achieving overarching program goals. Program goals will not be achieved "without the right number of people with the right skills in the right place at the right time." As agencies develop strategies that support the achievement of both long-term and annual program performance goals in their strategic and performance plans, they need to consider other management initiatives, (such as workforce planning, succession planning, position management, and effective organization design), as essential components of a broad-based management strategy.

Planning for human capital needs is one of the greatest challenges facing managers and leaders. In order to meet this challenge, a uniform process that provides a disciplined approach for matching human resources with the anticipated needs of the agency is essential. A workforce plan is a fundamental planning tool, critical to quality performance that will contribute to the achievement of program objectives by providing a basis for justifying budget allocations and workload staffing levels.

In order to support the Department's position management initiative, hiring managers will adhere to appropriate position management guidelines and ensure that minimum workforce analysis and succession planning objectives are considered when evaluating vacated position(s). As such, the first step in the decision process is to determine whether or not the hiring manager will fill the vacancy.

STEP 1: DO WE FILL THE VACANCY?

In order to answer this question, hiring managers will need to apply solid position management principles in assessing their options. The following checklist constitutes the appropriate items each hiring manager and his/her supervisor will review in conjunction with their position management review of a vacancy. For each item, you are required to initial in the appropriate Yes/No column your response to the item question:

Item #	Item Description	Yes	No
1.	Have you completed a position management review of your business unit in the past twelve months? If not, complete the position management review using the following guidelines.		

Position Management Review – In completing the position management review, have you considered the following:

- What work needs to be completed in your business unit? Only those positions for which there is a valid need based on such considerations as organizational goals and objectives, workload, authorized staffing plans, and funding should be created or continued.

- Are business units and positions structured to accomplish mission objectives efficiently and effectively?

- Duties and responsibilities may change over time and may affect the type of work being performed or the level of complexity. When assessing the need to fill a position, do any duties need to be added, removed or changed?

- Does the position description adequately and accurately reflect currently assigned duties and responsibilities?

- If the position is supervisory, have you assessed the appropriateness of retaining the position by looking at the span of control in the organization and considered whether it should be maintained at the same level or whether other adjustments can be made?

If you are not sure about acceptable standards for completing a position management review, you should consult with your business unit's assigned HR (Classification) Specialist.

Workload Analysis – Workload analysis is a descriptive baseline of the workload requirements by discipline in a business unit. It provides leaders with a process to assist with allocating resources, communicating priorities, identifying skills, and training employees needed to accomplish the workload.

Item #	Item Description	Yes	No
2.	As part of the position management review and workforce analysis, did you conduct a review of the workload for the business unit to which the vacancy is assigned to determine if the work could be redistributed, or if there was any duplication or overlap of functions?		
3.	Did you benchmark the findings from the workload analysis against the workload/performance of a similar business unit within and/or outside the agency to validate requirements?		

Item #	Item Description	Yes	No
Workforce Analysis – The primary elements of the workforce analysis methodology involve a review of the items listed below.			
4.	Did you determine whether or not the vacant position is a mission critical occupation (MCO), and if the key competencies associated with this position can be shared with another position in the business unit?		
5.	Did you evaluate the current headcount of the organization including anticipated retirements and separations? Did you identify the current skills and competencies of the workforce required for the business unit or your span of control?		
6.	Did you forecast the optimal headcount and competencies needed to meet the needs of the business unit in the future? Did you identify skills and competencies needed in MCO's in the future workforce in your span of control?		
7.	Did you evaluate the gap between the supply and demand of the required skill sets or competencies? (The Gap Analysis identifies headcount and competency surpluses and deficiencies. From the Gap Analysis the future headcount and competency gap can be derived.)		
Balanced Workforce – To achieve the workforce of the future, managers complete the necessary workforce analysis to create a balance between entry-level and mid-level positions, and workforce competence to address future skills gaps.			
8.	Have you assessed what skills are currently vital to the accomplishment of the agency's goals and objectives?		
9.	Have you addressed skill imbalances or gaps due to attrition, including retirement over the next 5 years and the potential impact on mission critical occupations?		
10.	Have you explored training, retraining, relocation, or recruiting options for filling competency gaps?		

Item #	Item Description	Yes	No
11.	Have you considered an effective strategy to address skills gaps through acquiring and developing entry-level employees for vacancies?		

Based on the review of the data and analyses resulting from the position management review, workload and workforce analyses, the hiring manager, in consultation with his/her supervisor and HR specialist is equipped to make an informed decision on whether the vacancy is to be filled. If the decision is not to fill vacancy, this will end the process, and the hiring manager will maintain the documentation of the analysis for future consideration.

Please document your decision:

__   The position is no longer required.

__   The position is required and the position description is accurate.

__   The work can be distributed to other positions. Those positions include (list them):

__   The position can be reengineered at a lower level and the new PD is attached.

STEP 2: Now that the Decision Is to Fill the Position…

If the decision is to fill the position, the following action items are to be considered:

Item #	Item Description	Yes	No
Recruitment Strategy – It is imperative for hiring managers to maintain an active recruitment strategy for future vacancies. Incorporating diversity outreach into your business unit's workforce planning and succession management is imperative to the agency's effort to increase diversity and achieve the goals of Part H of MD-715 (EEO Plan to Attain the Essential Elements of a Model EEO Program). The Federal government has a wealth of new and well used recruitment, retention, outreach, communication, and accountability initiatives available for USDA Staff Offices and Agencies to obtain and keep a diverse, high performing workforce. Hiring managers are expected to capitalize on the recruitment initiatives that best identify and attract the top talent and allow agencies to focus on the apprentice-level grades in order to support effective succession management while cultivating an empowered workforce for the			

Item #	Item Description	Yes	No
future.			
1.	Have you engaged your HR Specialist to ensure your efforts are aligned with the Hiring Reform Initiative?		
2.	If possible, did you conduct an exit interview with the departing staff to better understand the challenges, rewards, how best to manage the work associated with the position, and/or recommendations for retaining individuals in this or similar position(s)?		
3.	Have you conducted on-going recruitment efforts such as college recruiting to develop a pool of likely candidates for the Student Career Experience Program (SCEP)?		
4.	If this is an MCO vacancy and it has been a historically hard-to-fill position, did you consider incentives such as the recruitment, relocation and retention incentives (3 R's)?		
5.	If appropriate in this case, did you consider any succession management resources as a viable alternative to filling this position?		
6.	If appropriate in this case, have you networked with other hiring managers/staff of a similar business unit within the agency for possible reassignment in order to reduce the time-to-fill and minimize transition time so as to maintain continuity of the business unit's operations?		
7.	Did you consider employing any of the Veterans' hiring authorities to target veterans in support of the Department's Veterans hiring initiative?		
8.	Did you consider employing persons with disabilities to support the Department's disability hiring initiative?		
9.	The EEO/OCR advisor is an essential resource for hiring managers in navigating the maze of options to achieve the goal of increasing diversity among staff. Did you coordinate with your EEO/OCR advisor to review current and historical demographic data for your business unit?		

Item #	Item Description	Yes	No
10.	What are your workforce goals in support of MD-715? How are you currently supporting USDA's goals for workforce planning and diversity? Please attach a wokforce profile for the organization and a statement of efforts to address areas of underrepresentation for Veterans; Disabled Veterans; and persons with disabilities, and goals to address areas of underrepresentation.		
11.	Have you discussed diversity recruitment options with your Staffing Specialist and/or Special Emphasis Program (SEP) Representative?		

Succession Planning – Succession Planning assesses the current situation to plan the workforce of the future, including developing a plan to address succession of current workers as they leave the workforce due to retirement, attrition, and other factors. USDA has engaged in several succession planning initiatives to ensure we build a modern workplace with a modern workforce.

Item #	Item Description	Yes	No
12.	Did you review the business unit's/agency's succession plan to ensure that your recruitment/workforce strategy relative to the vacant position is aligned with the USDA and Agency succession planning strategy?		
13.	If this is an MCO and/or leadership position, did you consider alternatives such as a leadership development or career development opportunity for staff in the business unit or agency; a long-term detail to develop critical competencies among staff in the business unit or agency; integrating the position's work requirements into a cross-functional team environment to increase developmental opportunities for staff, etc.?		
14.	If appropriate, did you consider retention strategies for the incumbent with highly critical competencies or essential institutional knowledge?		

___ Recruit   ___ Do Not Recruit

I understand the critical need for position management and workforce and succession planning as management tools to maximize use of staff and resources. I certify that I have considered all factors outlined in the checklist and that my responses to each question item is accurate, as I have attempted to exhaust all resources and strategies to ensure the most effective means of position management.

_____   _____

Hiring Manager's Signature   Date

I have reviewed the hiring manager's responses to the question items in the checklist and attest to the accuracy of the responses.

_____   _____

Hiring Manager's Supervisor's Signature   Date